

PROPOSED AGENCY RULES FOR MILITARY AND VETERANS AFFAIRS

MILITARY AND VETERANS' AFFAIRS

Proposed New Rules: N.J.A.C. 5A:11

Confidentiality of Records and Criteria for

Requesting Records and Information

Authorized By: Brigadier General Glenn K. Rieth, The Adjutant General, Commissioner,
Department of Military and Veterans' Affairs

Authority: 38A: 3-6(o), N.J.S.A 47:1A-1, N.J.S.A 52:14B-3 and Executive Order No. 9 (Hughes
1963)

Proposal Number: PRN 2002-

Submit written comments by August 31, 2002 to:

Chief, Administrative Services Bureau
Department of Military and Veterans' Affairs
PO Box 340
Trenton, New Jersey, 08625-0340

The agency proposal follows:

Summary

On January 8, 2002, the Legislature passed and the Acting Governor approved P.L. 2001, c. 404, known as the Open Public Records Act, which enacted changes in the law concerning public access to government records. The law will be effective July 7, 2002. This law expands the public's right of access to government records and facilitates the way in which that access is provided by the custodian of those records. Section 18 of the law authorizes public agencies to take anticipatory administrative action in advance as may be necessary for the smooth and efficient implementation of the act. The Department of Military and Veterans' Affairs proposes rules establishing the process by which members of the public may seek access to government records in the possession or control of the Department or agencies within the Department under the revised law. The act requires the custodian of government records of a public agency to adopt a form for providing public access to

government records. The proposed rules in Subchapter 2 establish a process to be followed by members of the public who seek access to government records held or controlled by agencies within the Department.

The act provides that all government records shall be subject to public access unless exempt from such access by: P.L. 1963, c.73 as amended and supplemented; any other statute; resolution of either or both houses of the Legislature; regulation promulgated under the authority of any statute or Executive Order of the Governor; Rules of Court; any Federal law, Federal regulation or Federal order. The Commissioner, pursuant to N.J.S.A. 47:1A-1 et seq. and Executive Order No. 9 (Hughes 1963), proposes to classify as exempt from public access certain records held or controlled by the Department or agencies within the Department. The act also provides that a public agency should be mindful of the need to safeguard from public access a citizen's personal information with which it has been entrusted when disclosure thereof would violate the citizen's reasonable expectation of privacy. The rules proposed in Subchapter 1 are designed to serve both these legislative policies by facilitating public access to government records while, at the same time, balancing citizen's reasonable expectations of privacy and the integrity and effectiveness of governmental operations.

Proposed new N.J.A.C. 5A: 11-1.1 states the scope and applicability of the rules contained in the subchapter. These new rules apply to agencies under the supervision of the Commissioner and those not under the supervision of the Commissioner, commonly known as in but not of agencies.

Proposed new N.J.A.C. 5A: 11-1.2 provides that the Commissioner will designate a person to be Department records custodian. This person will be the custodian of records for the Office of the Commissioner. Each division director or agency shall designate a custodian of records for that division or agency. The address of custodians of record are set out in this rule and will be made

available to the public by posting on the Department web site.

Proposed new N.J.A.C. 5A: 11-1.3 provides that all requests for access to government records under the public access to government records law must be on a form approved by the Department.

The requester will be asked to provide certain information on the form, including a name, address and telephone number; a brief description of the records requested, type of access (examination, inspection or copying) and medium requested; and the requester's signature and date submitted to the proper custodian. The form will also provide space for: specific directions and procedures for requesting a government record; which records will be made available; when the record will be available; the fee to be charged; the amount of prepayment of fees that is required; a statement of the requester's right to challenge a denial and the procedures for challenging a denial; whether the requester has agreed to grant an extension of time; the toll free number of the Government Records Council; a certification by the requester that they have not been convicted of an indictable offense; the custodian to sign and date; and reasons if access is denied. Copies of the form will be available at division and agency offices and on the Department and agency web site.

Proposed new N.J.A.C. 5A: 11-1.4 establishes the procedure for submitting requests for access to government records. Forms may be hand delivered during normal business hours, mailed or transmitted electronically by facsimile or e-mail to the appropriate division or agency custodian.

All requests must be delivered to the appropriate division or agency custodian of records in order to trigger the requirements of the public access to government records law. Upon receipt of the form, the custodian will review it for clarity and completeness and will advise the requester of any deficiencies or request additional information, provided the requester has included contact information. The requester's identity will be required in order to insure compliance with the

provision of the law that prohibits a person convicted of an indictable offense under the laws of this State, any other state or the United States, from receiving personal information concerning the person's victim or the victim's family. Requests for records will be assigned a tracking number, if available, which will be used to track the request and respond to inquiries. The custodian will estimate the fee, including the cost of any special form of mailing requested. A request shall not be deemed complete until the custodian receives any prepayment required. A requester will also be required to prepay any special mailing or delivery costs such as UPS or Express Mail. A requester will not be charged for ordinary mailing costs. There is no charge for merely inspecting records.

Proposed new N.J.A.C. 5A: 11-1.5 provides that the balance of any fee over and above the estimated prepaid fee is due on delivery of the record.

Proposed new N.J.A.C. 5A: 11-1.6 specifies the records for which a citizen is ordinarily entitled to immediate access. These documents include budgets, bills, vouchers, contracts and public employee salary and overtime information.

Proposed new N.J.A.C. 5A: 11-1.7 provides that, except as otherwise provided by law, if the custodian fails to grant access to a government record within seven business days after the custodian receives the completed request or such other time as may be required under the law or may be agreed upon, the failure will be deemed a denial of the request for access. As provided in the statute, a custodian need not respond to an anonymous request until the requester reappears before the custodian.

Proposed new N.J.A.C. 5A: 11-1.8 provides that if requested records are stored in an offsite storage facility outside of the regular business office of the agency, the custodian will advise the requester of the date the records will be available and the estimated cost within seven business days

of receipt of the request form. This section codifies the requirements of the statute.

Proposed new N.J.A.C. 5A: 11-1.9 codifies the requirements of the statute concerning delivery of records in the medium requested. The custodian will deliver the record in the medium requested unless the agency does not maintain the record in that medium and cannot reasonably convert it. In such a case, the custodian will advise the requester of the cost of providing the record in the medium requested. Such charge may include labor.

Proposed new N.J.A.C. 5A: 11-1.10 deals with the computation of time. Consistent with statutes, court rules and case law, it provides that in computing the time period for granting access, the day the request is received is not included in the computation, but the last day of the period so computed is to be included. This section also clarifies that a request is not complete until the requester provides all necessary information and all applicable fees are paid.

Proposed new subchapter 5A: 11-2.1 contains a list of records deemed by the Commissioner to be confidential and not subject to public access under the provisions of N.J.S.A. 47:1A-1 et seq. as amended and supplemented. This subchapter is proposed under the authority of N.J.S.A. 47:1A-1 et seq. and Executive Order No. 9 (Hughes 1963). Under authority of the statute, that Executive Order authorized the head or principal executive of each principal department of State government to adopt and promulgate regulations setting forth which records of the department shall not be deemed public records. The regulations apply to all divisions within the department as well as those assigned or allocated to the department, commonly known as in, but not of, agencies. Proposed new N.J.A.C. 3.1 describes the scope and applicability of the subchapter.

Proposed new N.J.A.C. 5A: 11-2.2 sets forth those records of the department that are not deemed government records for the purposes of N.J.S.A. 47:1A-1 et seq. as amended and

supplemented and establishes the responsibility for access to records of the department held by the Office of Information Technology (OIT), the State Records Center of the Division of Archives and Records Management (DARM) of the Department of State, or in an offsite storage facility outside of the regular business office of the agency, and furthermore, institutes legal custody of, and responsibility for access to, records of the department transferred to the State Archives.

Because a 60-day comment period has been provided on this notice of proposal, this notice is exempted from the rulemaking calendar requirement of N.J.A.C. 1:30-3.3(a) 5.

Social Impact

The proposed new rules implement the requirements of N.J.S.A. 47:1A-1 et seq. as amended and supplemented by P.L. 2001, c.404. The proposed new rules will have a positive social impact by establishing a procedure for public access to government records held or controlled by the Department of Military and Veterans' Affairs. The law requires that government records be readily accessible for inspection, copying or examination by citizens of this State unless exempt by law or regulation, but also calls upon a public agency to safeguard from public access a citizen's personal information with which it has been entrusted when disclosure would violate the citizen's reasonable expectation of privacy. These proposed new rules attempt to balance the competing policies in the statute and to exclude records where it would not be in the public interest to permit indiscriminate disclosure or copying of certain records. The proposed new rules also provide provisions to protect and safeguard the citizen's reasonable expectation of privacy.

Economic Impact

The proposed new rules will not have an economic impact on the public in excess of that provided by the statute. Persons requesting copies of government records will be required to pay the fees authorized by the statute for copies of records. The proposed rules do not impose any additional costs. The cost incurred will depend on the type and volume of records requested and the medium of delivery.

The Department, however, will incur costs in processing requests for access to government records in the time set by the Act.

Federal Standards Statement

A Federal standards analysis is not required because the proposed new rules are not subject to any Federal standards. The Federal Freedom of Information Act, 5 U.S.C. 550a et seq., does not apply to records of State government and does not constitute a Federal standard.

Jobs Impact

The proposed new rules will not have an impact on the number of jobs generated or lost in the private sector in New Jersey. It may, however, require public agencies in this State to increase the number of employees designated to respond to requests for public access.

Agriculture Industry Impact

The proposed new rules will not have an impact on the agriculture industry in New Jersey.

Regulatory Flexibility Analysis

The proposed new rules do not impose reporting or record keeping requirements on small businesses, as defined in the Regulatory Flexibility Act, N.J.S.A. 52:14B-16 et seq. The proposed new rules impose compliance requirements on all persons seeking access to government records pursuant to N.J.S.A. 47:1A-1 et seq. as amended and supplemented. All persons, including small businesses, will be required to submit requests for access to government records on a form approved by the Department. The statute requires the custodian of records to adopt a form for access to records. The statute authorizes fees for copies of government records. There is no exception for small businesses. The cost depends on the number of copies requested. The proposed new rules provide that the fee will be the maximum set forth in the statute or a fee authorized by the statute that does not exceed the actual cost of providing the record. The cost to the department of providing the record does not depend on whether the requester is a small business.

Smart Growth Impact

The proposed new rules will not have an impact on the achievement of smart growth or the implementation of the State Development and Redevelopment Plan.

Full text of the proposed new rules follows:

CHAPTER 11CONFIDENTIALITY OF RECORDS AND CRITERIA FORREQUESTING RECORDS AND INFORMATION

SUBCHAPTER 1 GOVERNMENT RECORDS

5A: 11-1.1 Scope and applicability.

The rules in this subchapter apply to the Department of Military and Veterans' Affairs and all divisions and agencies in the Department, including those agencies allocated to the Department to satisfy the requirements of Article V, Section 4, Paragraph 1 of the New Jersey Constitution, commonly known as "in but not of" agencies.

5A: 11-1.2 Custodian of records

(a) Pursuant to P.L. 2001, c. 404, the Commissioner shall designate a custodian of records for the Department of Military and Veterans' Affairs, who shall be responsible for requests for access to government records of the Office of the Commissioner.

(b) Each Division director, agency director or governing body, as the case may be, shall designate a custodian of records or designee who shall be responsible for requests for access to records held or controlled by that division or agency.

(c) The address and other contact information for each record custodian shall be posted on the Department of Military and Veterans' Affairs web site and otherwise made available to the public.

The contact information is as follows:

Custodian of Records
Department of Military and Veterans' Affairs
PO Box 340
Trenton, New Jersey, 08625-0340

5A: 11-1.3 Requests for government records.

(a) All requests for access to government records pursuant to N.J.S.A. 47:1A-1 et seq., as amended and supplemented, held or controlled by the Department of Military and Veterans' Affairs or a Division or agency thereof, shall be in writing on the form set forth in Appendix A. For the purposes of this chapter, access means inspection, examination or copying.

(b) The requester shall be requested to provide the following information on the form:

1. The name, address, and telephone number of the requester;
2. A description of the government record sought, method of access and if copies are sought, the medium requested and mode of delivery; and
3. The date submitted to the division or agency custodian.

(c) The request form shall also include an identified space for:

1. The custodian to indicate whether the request is granted or denied;
2. Specific directions and procedures for requesting a record;
3. A statement that prepayment of fees is required and the fees to be charged;
4. The time period within which the public agency is required to make the record available;
5. The custodian to sign and date the form;
6. A statement of the requester's right to challenge a decision by the custodian to deny access;

7. The reasons for a denial of a request, in whole or in part;
8. The procedures for challenging a denial of access;
9. The custodian to indicate whether the requester has agreed to grant an extension of time;
10. A certification by the requester that they have not been convicted of an indictable offense under the laws of this State, any other state or the United States; and
11. The toll free number of the Government Records Council.

(d) Copies of the request form shall be available at the office of the Department custodian, all division and agency offices, on the department web site, and division or agency website, if any.

5A: 11-1.4 Procedures for requests.

(a) Request forms shall be hand-delivered during normal business hours of the public agency, mailed, or transmitted electronically by facsimile, e-mail or web site access by the requester to the appropriate division or agency custodian of records.

(b) Any officer or employee of the Department who receives a request for access to a government record shall direct the requester to the appropriate division or agency custodian of the record.

(c) Upon receipt of the request form, the custodian shall review the request form for clarity and completeness. If the request form is unclear as to the government record requested, the custodian shall advise the requester of the deficiency, provided contact information is included on the form. The custodian may require the requester to provide additional information to identify the record or

to ascertain the requester's identity and status to determine whether access is authorized. The custodian shall deny a request for access if the request is unclear or incomplete after attempting to reach a reasonable resolution with the requester. A request shall not be deemed complete until the custodian receives the pre-payment required under this section.

(d) All inquiries and processes involving the request shall include a tracking number.

(e) Upon receipt of a request form, the custodian shall estimate the cost of providing the records and shall require the pre-payment of the estimated sum, and of any special mailing or delivery costs. Payment shall be made by cash, check or money order payable to the State of New Jersey. Except as provided otherwise by law or regulation, costs shall be those set forth in N.J.S.A. 47:1A-1 et seq., as amended and supplemented.

(f) The custodian shall sign and date the request form, enter the estimated fee and, if applicable, tracking number, and provide the requester with a copy.

(g) No fee shall be charged for inspecting or examining government records.

(h) Upon request, a custodian may allow requesters to use their own photocopying equipment to copy public records, provided that it will not disrupt the business operations of the custodian and will not endanger the public records. No special fee shall be charged to a requester who utilizes its own equipment.

5A:11-1.5 Delivery of records.

The custodian shall notify the requester when the records are available and shall collect any additional fees and charges due prior to delivery of copies.

5A: 11-1.6 Immediate access to certain records.

Immediate access ordinarily shall be granted for requests to inspect, examine or copy budgets, bills, vouchers, contracts, including collective negotiations agreements and individual employment contracts, and public employee salary and overtime information.

5A: 11-1.7 Failure to respond.

Except as provided in N.J.A.C. 2.7, a custodian shall grant or deny access within seven business days after receiving a request completed in accordance with N.J.A.C. 2.4 or such additional time as may be allowed by law or these rules or as may be agreed to by the requester. The failure to grant access shall be deemed a denial of the request, unless the requester has elected not to provide a name, address, telephone number or other means of contact. If the requester has elected not to provide contact information, the custodian shall not be required to respond until seven business days after the requester reappears before the custodian seeking a response to the original request.

5A: 11-1.8 Records stored offsite.

If the requested record is in storage offsite at a facility outside of the regular business office of the agency, the custodian shall so advise the requester within seven business days after the custodian receives the request. The custodian shall advise the requester of the date when the record will be made available. If the record is not made available by the identified date, the request shall be deemed denied.

5A: 11-1.9 Requests for copies of a government record in a specified medium.

(a) Unless otherwise specifically requested, copies of records shall be provided in printed form on ordinary business size paper. The requester may request that the agency provide a copy of a record in a specific medium. If the agency maintains the government record in the medium requested, the custodian shall provide the record in the medium sought.

(b) If the agency does not maintain the government record in the medium requested, the custodian shall convert the record to the medium requested if reasonable or provide a copy in some other meaningful medium. If a requester asks for copies of a record in a medium not routinely used by the agency, not routinely developed or maintained by the agency, or requiring a substantial amount of manipulation or programming of information technology, the custodian may charge, in addition to the actual cost of duplication, a special charge which shall be reasonable and shall be based upon the cost of any extensive use of information technology or for the labor cost of providing the service actually incurred. The requester shall be given the opportunity to review and object to the charge prior to its being incurred. If the requester objects to the charge and refuses to withdraw the request, the custodian may deny the request after attempting to reach a reasonable solution that accommodates the interests of the requester and the agency.

(c) Whenever the nature, format, manner of collation, or volume of a government record embodied in the form of printed matter to be inspected, examined or copied is such that the record cannot be reproduced by ordinary document copying equipment in ordinary business size or involves an extraordinary expenditure of time and effort to accommodate the request, the division or agency may charge, in addition to the actual cost of duplicating the record, a special service charge that shall

be reasonable and shall be based upon the actual direct cost of providing the copy or copies. The requester shall have the opportunity to review and object to the charge prior to its being incurred. If the requester objects to the charge and refuses to withdraw the request, the custodian may deny the request after attempting to reach a reasonable solution that accommodates the interests of the requester and the agency.

5A: 11-1.10 Computation of time

(a) In computing any period of time under P.L.2001, c. 404 or these rules, the business day a completed request for access is received is not to be included. The last business day of the period so computed is to be included.

(b) For purposes of P.L. 2001, c. 404 and these rules, a request for access is deemed to be complete when the requester provides the information required by N.J.A.C. 5A:11-1.4 of these rules and pre-pays the fees required by P.L. 2001, c. 404 and these rules.

SUBCHAPTER 2. CONFIDENTIALITY OF RECORDS

5A: 11-2.1 Scope and applicability

The rules in this subchapter apply to the Department of Military and Veterans' Affairs and all divisions and agencies in the Department, including those agencies allocated to the Department to satisfy the requirements of Article V, Section 4, Paragraph 1 of the New Jersey Constitution, commonly known as "in but not of" agencies.

5A: 11-2.2 Records designated confidential.

In addition to records designated as confidential pursuant to the provisions of N.J.S.A. 47:1A-1 et seq., as amended and supplemented, any other law, regulation promulgated under the authority of any statute or Executive Order of the Governor, resolution of both houses of the Legislature, Executive Order of the Governor, Rules of Court, or any Federal law, Federal regulation or Federal order, the following records shall not be considered government records subject to public access pursuant to N.J.S.A. 47:1A-1 et seq., as amended and supplemented:

(a) Doyle Veterans' Memorial Cemetery.

1. NJDMAVA FORM 24P Application for Interment and Verification of Eligibility
2. NJDMAVA FORM 24-1 Pre-Registration
3. DD FORM 214
4. Death Certificate

(b) Veterans' Haven

All forms, records, and information relating to the application by, treatment of, progress of, evaluation of, and discharge of participants in the program known as Veterans' Haven.

(c) Veterans' Healthcare Services and Veterans' Memorial Homes.

1. Accident, Incident, Investigative Reports.
2. Medication Error Reports.
3. Computerized Medical Records.
4. Quality Improvement Minutes & Reports.
5. Admission Application & Records.
6. Veterans' Memorial Homes Waiting Lists.
7. Residents Financial Affairs.

(d) Veterans' Programs

1. Post-Traumatic Stress Disorder /Readjustment Counseling Program records of individual participants.
2. Clinicians' reports for the treatment/counseling of individual participants.
3. Individual student records kept by the New Jersey State Approving Authority.

(e) Human Resources

1. Personnel Files to include those of the State Guard and Naval Militia.
2. Medical Files to include Workers Compensation Files.
3. Working documents used to project a reduction in force.
4. Parts of internal investigations that are sensitive in nature, include protected personal information, or that would include an employee's disability
5. Working documents used in conducting an internal investigation
6. Medical information obtained through interviews.

(f) Youth Programs and Activities

1. Cadet Applications, medical, academic, performance, disciplinary, family information files.
2. Mentor Applications and files
3. Serious Incident Reports involving persons

(g) Museum System

Information on the donors, lenders, or benefactors regarding the contribution of any artifact or gift for exclusive use by the Museum System, as typically contained on DA Form 2609, financial reports, or other such records.

(h) Emergency Operations Plans and Orders of the New Jersey National Guard, State Guard, and Naval Militia.

1. All Military Support to Civil Authorities operations plans, operations orders, fragmentary orders, briefings and related mission tasking and personnel rosters prior to the execution of the plans.

2. All intelligence information, reports or briefings gathered and presented.

(i) Office of the Inspector General

1. Correspondence or documents received from a witness or a person requesting assistance.

2. IG report of inspections.

- i. IG report of investigation/inquiry

- ii. Police reports

3. Investigations from other agencies

4. DA Form 1559-R 9.

(j) Information concerning individuals as follows:

1. Information relating to medical, psychiatric or psychological history, diagnosis, treatment or evaluation.

2. Home addresses, home telephone numbers, personal e-mail addresses or other personal contact information.

3. Information in an income or other tax return.

4. Information describing a natural person's finances, income, assets, liabilities, net worth, bank balances, financial history or activities, or credit worthiness, except as otherwise required by law to be disclosed;

(k) Test questions, scoring keys and other examination data pertaining to the administration of an examination or an application for public employment or licensing.

(l) Records of another department or agency allocated to that department in the possession of this department or any agency allocated to this department when those records are made confidential by a regulation of that department or agency allocated to that department adopted pursuant to N.J.S.A. 47:1A-1 et seq. and Executive Order No. 9 (Hughes 1963), or pursuant to another law authorizing the department or agency to make records confidential or exempt from disclosure.

(m) Records of this department or any agency allocated to this department held by the Office of Information Technology (OIT), the State Records Storage Center of the Division of Archives and Record Management DARM, in the Department of State, or an offsite storage facility outside of the regular business office of the agency. Such records shall remain the legal property of this agency and be accessible for inspection or copying only through a request to the proper custodian of this department or agency allocated to this department. In the event that records of this department or any agency allocated to this department have been or shall be transferred to and accessioned by the State Archives in the Division of Archives and Records Management, all such records shall become the legal property of the State Archives, and requests for access to them shall be submitted directly to the State Archives.

5 June 2002

DATE

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GLENN K. RIETH
Brigadier General, NJARNG
The Adjutant General